



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

**INSTRUCTIONS:** See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334. Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Transportation # 2 Capitol Square Atlanta, GA. 30334 Division of Administration Office of General Accounting	Application Number <b>372-A</b>	
Application Number		Date Received MAR 19 1986	Date Completed JUN 5 1986
2. Person to Contact <b>Bob Wall</b>		Working Title <b>Accountant</b>	Telephone Number <b>656-5596</b>
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <b>372</b> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest <b>1950</b> Latest <b>TODATE</b>		5. Records Series Title (followed by title used in office, if different) <b>HIGHWAY PROJECT ALLOTMENT FILES</b>	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?  Division of Administration provides statff support to the Department in the areas of General Accounting; Audits and Fiscal Procedures; General Support Services.  General Accounting is responsible for proper accounting of all Department Funds and other duties as may be assigned by the Director of Administration. This office is divided into three different sections; General Ledger; Federal and State Aid Accounts; Payroll  Federal and State Aid Section : Highway Project allotment files are created in this section. Accumulates costs on participating projects State and Federal. Bills Federal Government. Maintains Control of Available Federal Fund			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to: Project allotment files: This file consist of an allotment notice sheet, which is a summary of funds allotted to a specific project and letters of authority for the transfer of funds from an unearned account to an earned account prior to making payments to Contractors. The federal government sends the Pr-37 form stating were the money is going. For Example for Preliminary Engineering, Construction or Right of Way. The State uses the detail estimate to show were the money is going.  Included Are: Letters of authority for the transfer of funds  File is arranged: These files are arranged alphabetically by county.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <b>20</b> ; Seven to twelve months old <b>15</b> ; Thirteen to twenty-four months old <b>4</b> ; twenty-five months and older <b>1</b> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <b>7</b> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

X	a. Is this the official copy of the series? If not, where is it?
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c. Is this a vital record?
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. <u>indirectly summarized on the Construction Allotment Register</u>
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? <u>a portion of the file is duplicated in the field office</u>
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ years.
b. Statute of limitation	_____ years.	e. Administrative need	<u>4</u> years.
c. Federal law	<u>3</u> years.	f. Federal retention instructions	<u>3</u> years.

OMB Circular A 102

Attach copy or excerpt of laws or regulations. Explain administrative need.

Federal Law: Requires project related cost accounting records must be retained 3 years after the fiscal or calendar year in which created.

FHPM Volume 1 Chapter 6 (attached)

Administrative Need: In the event the project wasn't closed properly

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then  
☒ Transfer to local holding area; hold 1 year(s); then  
☒ Transfer to State Records Center; hold 3 year(s); then  
☒ Destroy.  
☐ Transfer to State Archives for permanent retention?  
☐ Other (Specify)

NOTE: THESE RECORDS CAN NOT BE DESTROYED UNTIL ALL AUDITS ARE COMPLETE

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>James L. Byler</i>	3/17/86	<i>Martha B. Buck</i>	3/17/86
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	<i>W. H. Jones</i> 6-4-86
		Secretary of State/Designee	<i>Edward Weldon</i> 5/8/86
		Attorney General/Designee	<i>Barry S. Rogers</i> 5/11/86



STATE  
OF  
GEORGIA

31-07 > 1  
Application for  
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

PAGE  
1

1. Application Date		<b>INSTRUCTIONS:</b> See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		<b>FOR RECORDS MANAGEMENT DIVISION USE</b> Date Received: NOV 29 1972 Application No.: 372 Date Completed: DEC 4 1972	
2. Agency Application No.		3. AGENCY, Division, Subdivision & Administering Office Address Transportation Agency Accounting office No. 2 Capitol Square Atlanta, Ga 30334		4. Person to Contact Jim Keaton	
				5. Working Title Transportation Acct. Executive 6. Tel. No. 656-5239	
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.					
8. Inclusive Dates 1950-to date		9. EXACT SERIES TITLE Highway Project Allotment File			
10. What is the function of the office in which this record series is created  The function of the office in which the series was created was to manage funding of Highway projects for control, review supervision and analyzation.					
11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any and file arrangement  Project, Allotment File - This file consists of an allotment notice sheet, which is a summary of funds allotted to a specific project and letters of authority for the transfer of funds from an unearned account to an earned account prior to making payments to contractors.  This file is used for statistical analysis and reference. The series is filed alphabetically by county.					
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers Cu. Ft. of Records
Letter-size File Drawers		150	225		5 7 1/2
Legal-size File Drawers				Floor Space Occupied (Square Feet)	In Office(s) In Storage Area(s)
					This Year's Last Year's Preceding Year's All Prior Years'
				AVERAGE DAILY REFERENCES	20 20 15 8

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

- 13. Is this the Record Copy of the series? ☒ YES ☐ NO
- 14. Is there a duplication of this series in another office or agency? ☒ YES ☐ NO
- 15. Is the information contained in this series ever summarized or published? ☒ YES ☐ NO
- 16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
- 17. Does the series document policies and procedures of agency's operation or function? ☐ YES ☒ NO
- 18. Could the function be performed if the files were lost or destroyed? ☐ YES ☒ NO
- 19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
- 20. Does the record series provide data as input to an EDP file? ☒ YES ☐ NO
- 21. Does the record series contain documentation produced as EDP printout? ☒ YES ☐ NO
- 22. Is the series affected by Federal or grant funds? ☐ YES ☒ NO
- 23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept indefinite years:

a. <input type="checkbox"/> STATE LAW	b. <input type="checkbox"/> STATUTE OF LIMITATION	c. <input type="checkbox"/> AUDIT PERIOD	d. <input type="checkbox"/> FEDERAL LAW	e. <input checked="" type="checkbox"/> ADMINISTRATIVE DECISION	f. <input type="checkbox"/> HISTORICAL VALUE
---------------------------------------	---	--	---	--	--

(Cite Law, Statute, or other reason for the retention requirement)

For administrative control and review of project funding it is necessary to maintain this file until after the State Audit.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - ☐ CALENDAR YEAR - ☐ FISCAL YEAR - ☒ OTHER closed project, then:
- A. ☒ Destroy immediately after cut off.
  - B. ☐ Hold in current files area \_\_\_\_\_ month(s)/\_\_\_\_\_ year(s), then:
    - 1 ☐ Destroy.
    - 2 ☐ Transfer to records center; hold \_\_\_\_\_ year(s), then: Destroy.
    - 3 ☒ Destroy after audit (or \_\_\_\_\_ year(s) after audit).
  - C. ☐ Hold in current files area indefinitely.
  - D. ☐ Hold in current files area \_\_\_\_\_ year(s), then transfer to Archives permanently.
  - E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):  
Records pending litigation shall be kept until cleared.

Attach Samples of the Series

26. Recommendations in Paragraph 25 are:	Records Management Officer		Date
	<i>John J. Kitchens</i>		8-10-72
	Head of Agency		Date
	<i>[Signature]</i>		
	Secretary of State / Designee		Date
	Dept. of Audits		11-29-72
	Dept. of Law		11-28-72
	<i>Canell Hart</i>		12-1-72